

02-09-01

A

02/08/01

Please type an "+" inside this box ☐PTO/SB/05 (11/00) Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	4034-57
First Inventor	Lawrence P. Shields et al.
Title	System for Execution of Trades Made Pursuant to Stock Option and Purchase Plans
Express Mail Label No.	EL650348143US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
  2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27
  3. ☒ Specification [Total Pages (preferred arrangement as set forth below)
    - Descriptive title of the Invention
    - Cross References to Related Applications
    - Statement Regarding Fed sponsored R & D
    - Reference to sequence listing, a table, or a computer program listing appendix
    - Background of the Invention
    - Brief Summary of the Invention
    - Brief Description of the Drawings (if filed)
    - Detailed Description
    - Claim(s)
    - Abstract of the Disclosure
  4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets   - 5. Oath or Declaration [Total Pages   - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☒ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231
**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & documents(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
17. ☒ Other: Certification of Mailing

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP)	of prior application No: _____ / _____
Prior application information		Examiner: _____	Group Art Unit _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**
☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

Name	Leslie Gladstone Restaino, Esq.				
	Riker, Danzig, Scherer, Hyland & Perretti LLP				
Address	Headquarters Plaza				
	One Speedwell Avenue				
City	Morristown	State	NJ	Zip Code	07962
Country	USA	Telephone	973-538-0800	Fax	973-359-0984
Name (Print/Type)	Leslie Gladstone Restaino, Esq.			Registration No. (Attorney/Agent)	38,893
Signature	<i>Leslie Gladstone Restaino</i>			Date	February 8, 2001

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

<b>FEE TRANSMITTAL</b> <b>for FY 2001</b> <i>Patent fees are subject to annual revision</i> <b>Small Entity payments must be supported by a small entity statement</b> <b>otherwise large entity fees must be paid. See Forms PTO/SB/09-12</b> <i>See 37 C.F.R. § 1.27 and 1.28</i>		<b>Complete if Known</b>	
<b>TOTAL AMOUNT OF PAYMENT</b> (\$) <b>1,868.00</b>		Application Number	
		Filing Date	
		First Named Inventor	Lawrence P. Shields et al
		Examiner Name	
		Group/Art Unit	
		Attorney Docket Number	4034-57

<b>METHOD OF PAYMENT (check one)</b>				<b>FEE CALCULATION (continued)</b>																																																																																																																																																																																							
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:  Deposit Account Number: 50-0444 Deposit Account Name: Riker, Danzig, Scherer, Hyland & Perretti LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 C.F.R. § 1.16 and 1.17				<b>3 ADDITIONAL FEES</b>																																																																																																																																																																																							
2. <input type="checkbox"/> Payment Enclosed <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other				<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provision filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920**</td><td>112</td><td>920**</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840**</td><td>113</td><td>1,840**</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,360</td><td>218</td><td>680</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,850</td><td>228</td><td>925</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,210</td><td>241</td><td>605</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,210</td><td>242</td><td>605</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>430</td><td>243</td><td>215</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>580</td><td>244</td><td>290</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>690</td><td>246</td><td>380</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>690</td><td>249</td><td>380</td><td>For each additional invention to be examined (37 CFR 1.29(b))</td><td></td></tr> <tr><td colspan="5">Other fee (specify)</td><td></td></tr> <tr><td colspan="5">Other fee (specify)</td><td></td></tr> <tr> <td colspan="5" style="text-align: right;">**Reduced by Basic Filing Fee Paid</td> <td> <b>SUBTOTAL (3)</b>     (\$)         </td> </tr> </tbody> </table>				Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provision filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920**	112	920**	Requesting publication of SIR prior to Examiner action		113	1,840**	113	1,840**	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	380	216	190	Extension for reply within second month		117	870	217	435	Extension for reply within third month		118	1,360	218	680	Extension for reply within fourth month		128	1,850	228	925	Extension for reply within fifth month		119	300	219	150	Notice of Appeal		120	300	220	150	Filing a brief in support of an appeal		121	260	221	130	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,210	241	605	Petition to revive - unintentional		142	1,210	242	605	Utility issue fee (or reissue)		143	430	243	215	Design issue fee		144	580	244	290	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	690	246	380	Filing a submission after final rejection (37 CFR 1.129(a))		149	690	249	380	For each additional invention to be examined (37 CFR 1.29(b))		Other fee (specify)						Other fee (specify)						**Reduced by Basic Filing Fee Paid					<b>SUBTOTAL (3)</b> (\$)
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																						
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																																																							
127	50	227	25	Surcharge - late provision filing fee or cover sheet																																																																																																																																																																																							
139	130	139	130	Non-English specification																																																																																																																																																																																							
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																																																							
112	920**	112	920**	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																							
113	1,840**	113	1,840**	Requesting publication of SIR after Examiner action																																																																																																																																																																																							
115	110	215	55	Extension for reply within first month																																																																																																																																																																																							
116	380	216	190	Extension for reply within second month																																																																																																																																																																																							
117	870	217	435	Extension for reply within third month																																																																																																																																																																																							
118	1,360	218	680	Extension for reply within fourth month																																																																																																																																																																																							
128	1,850	228	925	Extension for reply within fifth month																																																																																																																																																																																							
119	300	219	150	Notice of Appeal																																																																																																																																																																																							
120	300	220	150	Filing a brief in support of an appeal																																																																																																																																																																																							
121	260	221	130	Request for oral hearing																																																																																																																																																																																							
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																							
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																																							
141	1,210	241	605	Petition to revive - unintentional																																																																																																																																																																																							
142	1,210	242	605	Utility issue fee (or reissue)																																																																																																																																																																																							
143	430	243	215	Design issue fee																																																																																																																																																																																							
144	580	244	290	Plant issue fee																																																																																																																																																																																							
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																							
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																																							
126	240	126	240	Submission of Information Disclosure Stmt																																																																																																																																																																																							
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																							
146	690	246	380	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																							
149	690	249	380	For each additional invention to be examined (37 CFR 1.29(b))																																																																																																																																																																																							
Other fee (specify)																																																																																																																																																																																											
Other fee (specify)																																																																																																																																																																																											
**Reduced by Basic Filing Fee Paid					<b>SUBTOTAL (3)</b> (\$)																																																																																																																																																																																						
<b>1. BASIC FILING FEE</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>710</td><td>201</td><td>355</td><td>Utility filing fee</td><td>710 00</td></tr> <tr><td>106</td><td>320</td><td>206</td><td>160</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>490</td><td>207</td><td>245</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>710</td><td>208</td><td>355</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114</td><td>150</td><td>214</td><td>75</td><td>Provisional filing fee</td><td></td></tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL (1)</b></td> <td> <b>(\$)</b>     710 00         </td> </tr> </tbody> </table>				Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	101	710	201	355	Utility filing fee	710 00	106	320	206	160	Design filing fee		107	490	207	245	Plant filing fee		108	710	208	355	Reissue filing fee		114	150	214	75	Provisional filing fee		<b>SUBTOTAL (1)</b>					<b>(\$)</b> 710 00	<b>2. EXTRA CLAIM FEES</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee From below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>33</td> <td>20* = 11</td> <td>18</td> <td>198 00</td> </tr> <tr> <td>15</td> <td>3* = 12</td> <td>80</td> <td>960 00</td> </tr> <tr> <td colspan="4">Multiple Dependent</td> </tr> </tbody> </table> <p>* or number previously paid, if greater, For Reissues, see below</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td></tr> <tr><td>102</td><td>80</td><td>202</td><td>40</td><td>Independent claims in excess of 3</td></tr> <tr><td>104</td><td>270</td><td>204</td><td>135</td><td>Multiple dependent claim</td></tr> <tr><td>109</td><td>80</td><td>209</td><td>40</td><td>*Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>*Reissue claims in excess of 20 and over original patent</td></tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL (2)</b></td> </tr> </tbody> </table>				Total Claims	Extra Claims	Fee From below	Fee Paid	33	20* = 11	18	198 00	15	3* = 12	80	960 00	Multiple Dependent				Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	103	18	203	9	Claims in excess of 20	102	80	202	40	Independent claims in excess of 3	104	270	204	135	Multiple dependent claim	109	80	209	40	*Reissue independent claims over original patent	110	18	210	9	*Reissue claims in excess of 20 and over original patent	<b>SUBTOTAL (2)</b>																																																																																											
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																						
101	710	201	355	Utility filing fee	710 00																																																																																																																																																																																						
106	320	206	160	Design filing fee																																																																																																																																																																																							
107	490	207	245	Plant filing fee																																																																																																																																																																																							
108	710	208	355	Reissue filing fee																																																																																																																																																																																							
114	150	214	75	Provisional filing fee																																																																																																																																																																																							
<b>SUBTOTAL (1)</b>					<b>(\$)</b> 710 00																																																																																																																																																																																						
Total Claims	Extra Claims	Fee From below	Fee Paid																																																																																																																																																																																								
33	20* = 11	18	198 00																																																																																																																																																																																								
15	3* = 12	80	960 00																																																																																																																																																																																								
Multiple Dependent																																																																																																																																																																																											
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description																																																																																																																																																																																							
103	18	203	9	Claims in excess of 20																																																																																																																																																																																							
102	80	202	40	Independent claims in excess of 3																																																																																																																																																																																							
104	270	204	135	Multiple dependent claim																																																																																																																																																																																							
109	80	209	40	*Reissue independent claims over original patent																																																																																																																																																																																							
110	18	210	9	*Reissue claims in excess of 20 and over original patent																																																																																																																																																																																							
<b>SUBTOTAL (2)</b>																																																																																																																																																																																											

<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Name (Print/Type)	Leslie Gladstone Restaino, Esq	Registration No (Attorney/Agent)	38,893
Signature	<i>Leslie Gladstone Restaino</i>	Telephone	973-538-0800
		Date	2/8/2001

**WARNING**  
Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Lawrence P. Shields, et al.  
Attorney Docket No.: 4034-57  
For: **SYSTEM FOR EXECUTION OF TRADES MADE  
PURSUANT TO STOCK OPTION AND PURCHASE PLANS**

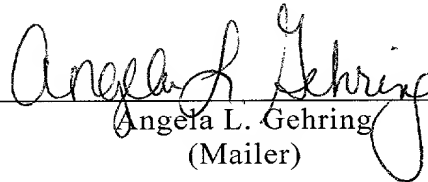
Headquarters Plaza  
One Speedwell Avenue  
Morristown, N.J. 07962  
February 8, 2001

Box Patent Application  
Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

**CERTIFICATION**

I hereby certify that this paper, bearing Express Mailing Label No. EL650348143US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

  
\_\_\_\_\_  
Angela L. Gehring  
(Mailer)